

Department of Veterans Affairs



Functional Analysis & Records Disposition Authority

**Revision
Presented to the
State Records Commission
July 27, 2000**

Table of Contents

Functional and Organizational Analysis of the Department of Veterans Affairs.....	3
Sources of Information.....	3
Historical Context	3
Agency Organization	3
Agency Function and Subfunctions	4
Analysis of Record Keeping System and Records Appraisal of the Department of Veterans Affairs.....	7
Agency Record Keeping System	7
Records Appraisal	7
Permanent Records List	11
Department of Veterans Affairs Records Disposition Authority	12
Explanation of Records Requirements.....	12
Records Disposition Requirements	13
Promulgating Rules and Regulations.....	13
Assisting.....	13
Operating Veterans Homes	14
Administering the Alabama G.I. Dependent's Scholarship Program	14
Administering Internal Operations: Managing the Agency	14
Administering Internal Operations: Managing Finances	15
Administering Internal Operations: Managing Human Resources	16
Administering Internal Operations: Managing Properties, Facilities, and Resources	18
Approval of Records Disposition Authority (RDA)	19

Functional and Organizational Analysis of the Department of Veterans Affairs

Sources of Information

- Department of Veterans Affairs, Records Disposition Authority Committee:
 - Edward H. Minter III (chair), Administrative Assistant, Administrative Division
 - Fred Baker, Administrative Assistant, Veterans Home Program
 - Alice Boone, Secretary, Administrative Division
 - Brenda Ingram, Executive Assistant, Administrative Division
 - Kim McGeehan, Accounting Section, Administrative Division
 - Mike Northcutt, Computer Operations Section, Administrative Division
 - Department of Veterans Affairs, Other Representatives
 - Charlotte Clifton, Veterans Affairs Assistant, Montgomery County
- Code of Alabama 1975 § 31-5-1 through § 31-5-14; § 31-5A-1 through § 31-5A-11; § 31-6-1 through § 31-6-17; § 31-7-1 through § 31-7-5
- Alabama Administrative Code Chapters 920-X-1 through 920-X-7
- Alabama Government Manual (1998)
- Department of Veterans Affairs Audit Report (1998)
- Department of Veterans Affairs Annual Report (1997-1998)
- Government Records Division, Department of Veterans Affairs records retention schedules
- Government Records Division, State Agency Files (1985-ongoing)
- Holdings of the Department of Archives and History for Department of Veterans Affairs

Historical Context

Alabama recognized its obligation to render services to veterans in 1927 when the State Service Commission was established by legislative act. In 1943, the legislature, recognizing the workload of required services which was expected at the conclusion of World War II, passed legislation authorizing all counties in the state to employ county service commissioners. However, these commissioners were to be hired and paid by each county and, therefore, were not under the direct supervision of the State Service Commission. In 1945, the legislature again recognized the inadequacies of existing agencies handling the affairs of veterans and passed legislation creating the Department of Veterans Affairs to function under a State Board of Veterans Affairs (Legislative Act No.173). Operation of the department began officially on October 1, 1945, as provided by the act.

Agency Organization

The Department of Veterans Affairs is administered under the direction of the State Board of Veterans Affairs. The board is composed of the governor as the chair and sixteen representatives of various veterans' organizations. Representatives are selected from the memberships of the Alabama Department of the American Legion; the United Spanish American War Veterans; the

Veterans of Foreign Wars; the Disabled Veterans of America; Veterans of WWI of the USA, Incorporated; the Vietnam Veterans of America; American Veterans of World War II (AMVETS); the Military Order of the Purple Heart; and American Ex-Prisoners of War, Inc. There is one representative from each organization for every 7,500 resident members or fraction thereof on July 1 of the year in which appointments are made. Each organization submits three nominees for each available place to the governor for appointment. Each representative serves a term of four years from the date of appointment. The board meets quarterly and a quorum consists of the majority of the board. The board appoints a state service commissioner/director to execute the rules and regulations of the board. In addition to its headquarters in Montgomery, the department maintains 81 field offices located throughout the state. Also, under authority of the Code of Alabama 1975 § 31-5A-1 through § 31-5A-11, the department operates three veterans care facilities (veterans' homes) located in Alexander City, Bay Minette, and Huntsville. An organizational chart is attached.

Agency Function and Subfunctions

The mandated function of the Department of Veterans Affairs is to provide assistance to all veterans and their family members in formulating and processing claims for compensation, pension, hospitalization, education, burial, and other benefits or privileges. The department is one of the agencies primarily involved in carrying out the Client Services function of Alabama government.

In the performance of its mandated function, the Department of Veterans Affairs may engage in the following subfunctions:

- **Promulgating Rules and Regulations.** The State Board of Veterans Affairs is responsible, under the Code of Alabama 1975 § 31-5-3, for the adoption of policies, rules, and regulations for the administration of the Department of Veterans Affairs. This subfunction encompasses the board's efforts in making, altering, repealing, or amending rules and regulations that are implemented by the department to accomplish its duties and functions vested by law.
- **Assisting.** In accordance with the Code of Alabama 1975 § 31-5-4, the staff of the department assists every veteran of any war of the United States in presenting and pursuing claims against the United States arising out of war service and in establishing the veteran's right to any privilege, preference, care, or compensation provided by the laws of the United States or of the State of Alabama. To facilitate assistance to veterans and their dependents on a statewide basis, the department maintains a claims service network consisting of a central claims office in Montgomery and 81 field offices across the state. Work performed by the claims service network includes preparation of evidence for the development, prosecution, and presentation of claims; representation of claimants in personal appearances before the U.S. Department of Veterans Affairs Regional Office in company of the claimant or as an accredited service organization representative; assistance in expediting decisions for compensation, pension, education/training benefits; and coordination of all other related activities.

- **Operating Veterans Homes.** Under authority of the Code of Alabama 1975 § 31-5A-1 through § 31-5A-11, the department is authorized to receive federal aid and any other source of contributions for the construction and operation of state veterans home(s) for the care and support of elderly or disabled veterans in the state. Currently, the department operates three veterans homes located in Alexander City, Bay Minette, and Huntsville. The homes provide skilled nursing care for residents at each facility. State law mandates that the department contract with a non-governmental entity to manage the three veterans homes under the oversight of onsite department representatives. The contractor is paid from funds allocated by the U.S. Department of Veterans Affairs and from fees paid by facility residents. The departmental representative at each home budgets for operations, monitors daily operations, and reports to the department director on activities within the veterans home.

- **Administering the Alabama G.I. Dependent's Scholarship Program.** The Code of Alabama 1975 § 31-6-1 through § 31-6-17 directs the department to administer the Alabama G.I. and Dependent's Educational Benefit Act. Enacted in 1951, the act provides children and wives/widows of deceased or disabled veterans or prisoners of war with educational benefits in any state-supported college or university. Eligible students may receive up to 36 months (four standard academic years) of free tuition, laboratory fees, and required textbooks. This subfunction includes budget preparation, determination of eligibility, and invoice payments.

- **Administering Internal Operations.** A significant portion of the agency's work includes general administrative, financial, and personnel activities performed to support the programmatic areas of the agency including:

Managing the Agency: Activities involved in managing the agency include general administration such as corresponding/communicating, meeting, and directing; representing the department; lobbying on behalf of the department; reporting; publicizing; managing records; and managing information systems and technology.

Managing Finances: Activities include budgeting (preparing and reviewing budget package, submitting the budget package to the Department of Finance, documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; and assisting in the audit process; investing; and issuing bonds.

Managing Human Resources: Activities include recruiting and hiring eligible individuals to fill positions within the agency; providing compensation to employees; providing benefits to employees such as leave, health insurance, unemployment compensation, worker's compensation, injury compensation, retirement, and death benefits; supervising employees by evaluating performance, granting leave, and

monitoring the accumulation of leave; training and providing continuing education for employees; and disciplining.

Managing Properties, Facilities, and Resources: Activities include inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; constructing buildings and facilities; leasing and/or renting offices or facilities; providing security for property owned by the agency; insuring property; and assigning, inspecting and maintaining agency property, including vehicles.

Analysis of Record Keeping System and Records Appraisal of the Department of Veterans Affairs

Agency Record Keeping System

The agency currently operates a hybrid record keeping system composed of paper and electronic records.

Paper-based Systems: Staff members create and maintain most of the agency's records in paper form.

Computer Systems: The department's data communication network consists of a Compaq Server and a number of personal computers. The department uses the State Data Center's IBM Mainframe as the central repository for information generated by many of the department's functional areas. Within the department's headquarters and field offices, staff members utilize personal computers to perform routine word processing, accounting, and other administrative functions. The department has e-mail and Internet capabilities. The computer system is backed up daily on tapes. Backup tapes are stored at the central office and reused every month. Staff members of the department also have permission from the United States Department of Veterans Affairs to gain access to its claims database, known as TARGET or VA BDN (Benefits Delivery Network) for inquiry purposes only.

The department maintains the following three databases:

- 1) Alabama G.I. Dependent's Scholarship Program Database – tracking eligible students' data.
- 2) Alabama Servicemen Casualty Database – tracking data of Alabama's servicemen who had lost their lives since World War I. The database is used for inquiries or reports based on war, county, branch of service, or any combination.
- 3) Departmental Personnel Database – tracking data of the department's employees based on race, classification, merit or non-merit, date of birth, and service date.

The department maintains a web site at www.agencies.state.al.us/va. Information on the web site includes Veterans Trust Fund contribution procedures, Introductions to Veterans Homes, Service Officers' listings, and Alabama laws concerning veterans. This information is maintained also in paper format.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Department of Veterans Affairs: Temporary Records and Permanent Records.

I. Temporary Records. Temporary records should be held for what is considered to be their active life and disposed of once all fiscal, legal and administrative requirements have been met. Some of the temporary records created by the department are discussed below:

- **Veterans Claim Files.** The major function of the department is to assist veterans in presenting and pursuing claims against the United States. When a veteran contacts one of the department's field offices, a claim file is created for the veteran. The file documents all communications and assistance rendered. Copies of the records in the file are generally sent to offices of primary responsibility such as the U. S. Department of Veterans Affairs, Social Security Administration, etc. for final decision. A typical file may contain contact sheets, various application forms, retirement orders, memoranda, correspondence, and copies of vital records such as birth/death certificates, marriage licenses, etc. The department maintains the files for 15 years after the last claim activity.
- **Meeting Minutes of Veterans Home Admissions Committees.** Each veterans' home has an admissions committee, consisting of the department representative, medical doctor, director of nursing, social worker, and veterans' home administrator. The committees meet twice a week to review applications for admission to the veterans' home. The meeting minutes basically record numbers of applicants, numbers of admissions and applicants' counties of residence. Detailed narrative and statistical data for each veterans home is available in the department's annual report. The department will keep the meeting minutes for three years for audit purpose.
- **Veterans Home Resident Files.** These are documents established and utilized by the departmental staff in admitting and caring for veteran residents. Included are completed application forms for admission to veterans' homes, legal residency information sheets, applications for medical benefits, medical certificates, screening forms for mental illness/mental retardation, applicant daily living activity surveys, financial worksheets, correspondence, and other related supporting documents. The department must keep the files at least until the resident is discharged. To meet other potential legal or reference needs, the agency would like to maintain the files for seven years after discharge.

II. Permanent Records. The Government Records Division recommends the following records as permanent.

Promulgating Rules and Regulations

- **Meeting Minutes of the State Board of Veterans Affairs.** The board is responsible for the adoption of policies, rules, and regulations for the operation of the department. These minutes, dated back to 1959, document proceedings of the quarterly meetings of the board. **(Bibliographic Title: Meeting Minutes)**
- **Policies and Procedures Manuals.** The policies and procedures manual was designed by the department to aid its employees in carrying out day-to-day operations. Updated regularly, the manual contains such information as office operating procedures, contacts in field offices, use of departmental vehicles, dress code, control of correspondence in

field offices, periodic reports guidelines, and various forms. These records document the department's role in prescribing standards and procedures for its employees and programs. **(Bibliographic Title: Policies and Procedures Manuals)**

Assisting

- **Reports of Transfer or Discharge (Form DD 214).** These are copies of Reports of Transfer or Discharge (Form DD 214) issued to the agency by the U. S. Department of Defense. The form lists name, date of birth, education, address, branch of service, rank, station, type of transfer or discharge, service data, and veterans' benefit and employment history. The copy is frequently used and referenced by veterans and the agency staff. They should be kept permanently in the agency. **(Bibliographic Title: Reports of Transfer or Discharge [Form DD 214])**
- **Informational and Promotional Publications.** This series consists of publications, such as brochures, pamphlets, flyers, and other documents issued in print that are distributed by the department to veterans and their families. The purpose of these publications is to inform veterans about the existence or availability of benefits such as educational training opportunities, health or rehabilitation services, employment chances, and housing facilities. **(Bibliographic Title: Informational and Promotional Publications)**
- **News Releases.** This series consists of statements or announcements, concerning various benefits available to veterans or policy changes that may affect veterans, issued for distribution to the news media and to the local broadcasting network to be aired on the "Veterans Column of the Air." Included may be copies of news releases, typescripts of broadcast announcements, and other related background materials used to create the news release. **(Bibliographic Title: News Releases)**
- **Alabama Servicemen Casualty Database.** This database is created and maintained to document and track data about Alabama's servicemen who lost their lives during wartime service since World War I. Printouts can be generated based on war, county of residence, branch of service, or any other combination. The database should be preserved for its research value. **(Bibliographic Title: Database of Alabama Servicemen Casualties)**

Operating Veterans Homes

Permanent records documenting this subfunction are found in the Annual Reports as described in the Reporting heading within the Administering Office Operations subfunction.

Administering the Alabama G.I. Dependent's Scholarship Program

- **Alabama G.I. Dependent's Scholarship Program Student Files/Alabama G.I. Dependent's Scholarship Program Database.** This series consists of copies of documents necessary to establish evidence of service, dependency, and residency as required under state law for awarding educational scholarships to eligibles. Examples may include copies of birth certificates, marriage certificates, Form DD-214s, adoption

decrees, affidavits of residence, and national guard records. Also included are applications for educational benefits, copies of certificates of eligibility and entitlement, eligible student charge cards, and related correspondence or memorandums. These records should be maintained permanently because they provide access to information which might be useful for tracking the impact of the program on Alabama people and its society. Since the agency started in 1996 to enter student enrollment data into the program database, it is recommended that only paper copies created prior to 1996 and the database should be kept permanently. **(Bibliographic Title: Alabama G.I. Dependent's Scholarship Program Student Files)**

Administering Internal Operations

- **Annual Reports.** In compliance with the Code of Alabama 1975 § 31-5-7(a), the department publishes annually a full report of the operations and administration of the department and submits the report to the State Board of Veterans Affairs. The report contains information on the department's function, organization, financial statement, list of radio programs that broadcasted the department's activities and programs, departmental activity reports, and statistical data on Alabama veterans. **(Bibliographic Title: Annual Reports)**
- **Staff Meeting Agendas and Minutes.** The department holds a quarterly staff meeting after its quarterly board meeting. In addition to the central office staff, district office managers also attend these meetings. Topics on the agenda may include a review of the board meeting and other program related issues. **(Bibliographic Title: Meeting Agenda and Minutes of Staff Meetings)**

Permanent Records List

Department of Veterans Affairs

Promulgating Rules and Regulations

1. Meeting Minutes of the State Board of Veterans Affairs
2. Policies and Procedures Manuals

Assisting

1. Reports of Transfer or Discharge (Form DD 214)*
2. Informational and Promotional Publications
3. News Releases
4. Alabama Servicemen Casualty Database*

Administering the Alabama G.I. Dependent's Scholarship Program

1. Alabama G.I. Dependent's Scholarship Program Student Files (created before 1996)
2. Alabama G.I. Dependent's Scholarship Program Database

Administering Internal Operations

1. Annual Reports
2. Staff Meeting Agendas and Minutes*

*indicates records that ADAH anticipates will remain in the care and custody of the creating agency.

ADAH staff members are available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.

Department of Veterans Affairs Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975 § 41-13-5 and § 41-13-20 through 21. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the Department of Veterans Affairs. The RDA lists records created and maintained by the Department of Veterans Affairs in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the board to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Under the Code of Alabama 1975 § 36-12-40, "every citizen has a right to inspect and take a copy of any public writing in this state, except as otherwise expressly provided by statute." Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975 § 36-12-2, § 36-12-4, and § 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of the Department of Veterans Affairs records. Copies of superseded schedules are no longer valid and may not be used for records disposition.
- The RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept.
- Electronic mail is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain records and records-related materials need not be retained as records under the disposition requirements in this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and

have become obsolete; (4) transitory records, which are temporary records created for short-term, internal purposes that may include, but are not limited to: telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal communications about social activities; and (5) honorary materials, plaques, awards, presentations, certificates, and gifts received or maintained by the agency staff.. They may be disposed of without documentation of destruction.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Department of Veterans Affairs and lists the groups of records created and/or maintained by the board as a result of activities and transactions performed in carrying out these subfunctions. The board may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

Promulgating Rules and Regulations

MEETING MINUTES OF THE STATE BOARD OF VETERANS AFFAIRS

Disposition: PERMANENT RECORD.

POLICIES AND PROCEDURES MANUALS

Disposition: PERMANENT RECORD.

State Board of Veterans Affairs Members' Service Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the term is expired.

Assisting

REPORTS OF TRANSFER OR DISCHARGE (FORM DD 214)

Disposition: PERMANENT RECORD.

INFORMATIONAL AND PROMOTIONAL PUBLICATIONS

Disposition: PERMANENT RECORD.

NEWS RELEASES

Disposition: PERMANENT RECORD.

ALABAMA SERVICEMEN CASUALTY DATABASE

Disposition: PERMANENT RECORD.

Veterans Claim Files

Disposition: Temporary Record. Retain 15 years after the last claim activity.

Field/District Office Regular Activity Reports

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Operating Veterans Homes**Meeting Minutes of Veterans Home Admissions Committee**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Veterans Home Resident Files

Disposition: Temporary Record. Retain 7 years after discharge of the resident.

Denied Veterans Home Resident Files

Disposition: Temporary Record. Retain 7 years after denial.

Veterans Home Regular Activity Reports

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Administering the Alabama G.I. Dependent's Scholarship Program**ALABAMA G.I. DEPENDENT'S SCHOLARSHIP PROGRAM STUDENT FILES
(created before 1996)**

Disposition: PERMANENT RECORD.

Alabama G.I. Dependent's Scholarship Program Student Files (created after 1996)

Disposition: Temporary Record. Retain 5 years after the expiration of the last applicant's eligibility.

ALABAMA G.I. DEPENDENT'S SCHOLARSHIP PROGRAM DATABASE

Disposition: PERMANENT RECORD.

Administering Internal Operations: Managing the Agency**ANNUAL REPORTS**

DISPOSITION: PERMANENT RECORD.

STAFF MEETING AGENDAS AND MINUTES

DISPOSITION: PERMANENT RECORD.

Recordings of Meetings

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

General Correspondence/Memoranda

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Reference Files

Disposition: Temporary Record. Retain for useful life.

Legal Case Files

Disposition: Temporary Record. Retain 20 years after the final disposition of the case.

Administrative Hearing Case Files

Disposition: Temporary Record. Retain 10 years after the final disposition of the case.

Legislation Tracking Files

Disposition: Temporary Record. Retain 5 years.

Records documenting the implementation of the center's approved RDA (copies of transmittal forms to the Archives and the State Records Center, evidence of obsolete records destroyed, and annual reports to the State Records Commission)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Copies of RDA

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the RDA is superseded.

Computer systems documentation (hardware/software manuals and diskettes, warranties, records of access/authorities, file naming conventions, Y2K records)

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists anywhere in the agency and all permanent records have been migrated to a new system.

Printouts of Acknowledgment from the Secretary of State Relating to Notices of Meetings Posted by State Agencies

Disposition: Temporary Record. Retain 3 years.

Administering Internal Operations: Managing Finances**Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records of original entry or routine accounting transactions, such as journals, registers, and ledgers, and records of funds deposited outside the state treasury

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Grant Project Financial Records and Interim Reports

Disposition: Temporary Record. Retain 6 years after submission of the final financial report.

Records documenting requests for authorization from supervisors to travel on official business either within or outside the state, and other related materials, such as travel reimbursement forms and itineraries

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting contracts for services or personal property

Disposition: Temporary Record. Retain 6 years after expiration of the contract.

Records documenting the bid process, including requests for proposals and unsuccessful responses

- a. Original Bid Records Maintained in the Purchasing Office of the Agency for Contracts over \$7500
Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the bids were opened.
- b. Duplicate copies of bid (where originals are maintained by the Finance Department - Division of Purchasing)
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the bids were opened.

Audit Reports

Disposition: Temporary Record. Retain 6 years after end of the fiscal year in which the records were created.

Administering Internal Operations: Managing Human Resources

Position Classification Files

Disposition: Temporary Record. Retain 4 years after position is reclassified.

Application Materials

Disposition: Temporary Record. Retain 1 year.

Records documenting payroll (e.g. pre-payroll reports, payroll check registers)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting payroll deduction authorizations

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records documenting payroll deductions for tax purposes (including Form 941)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting an employee's work history - generally maintained as a case file

Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.

Records documenting employees' daily and weekly work schedules

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting an employee's hours worked, leave earned, and leave taken (including time sheets)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting sick leave donations

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records of final leave status (cumulative leave)

Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.

Employee Flexible Benefits Plan Files

- a. General information

Disposition: Temporary Record. Retain until superseded.

- b. Other (applications, correspondence)

Disposition: Temporary Record. Retain 6 years.

State Employee Injury Compensation Trust Fund Files

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Equal Employment Opportunity Commission Case Files

Disposition: Temporary Record. Retain 3 years.

Administering Internal Operations: Managing Properties, Facilities, and Resources

SEMIANNUAL INVENTORY LISTS

Disposition: PERMANENT RECORD. Retain in office (Code of Alabama 1975 § 36-16-8[1]).

Transfer of State Property Forms (SD-1) (Agency copies)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Property Inventory Cards and/or Computer Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the items were removed from inventory.

Receipts of Responsibility for Property

Disposition: Temporary Record. Retain until return of item to property manager.

Real Property Leasing/Renting Records

Disposition: Temporary Record. Retain 6 years after expiration of the lease.

Facilities/Building Security Records (including visitor logs)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Motor Pool Vehicle Use Records

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Insurance Policies/Risk Management Records

Disposition: Temporary Record. Retain 6 years after termination of policy or membership.

Building Maintenance Work Orders

Disposition: Temporary Record. Retain 1 year.

Approval of Records Disposition Authority (RDA)

By signing this agreement, the Department of Veterans Affairs acknowledges its responsibilities for the proper management of its records and agrees to abide by the implementation guidelines listed below:

- The Department of Veterans Affairs will designate a managerial position as the agency records officer. This position is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, for coordinating the transfer and destruction of records, for ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, for submitting an annual report on records management activities to the State Records Commission in October of each year, and for ensuring the regular implementation of the agency's approved RDA.
- Permanent records in the Department of Veterans Affairs' custody will be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis – for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA's provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The agency should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records' permanent preservation and accessibility.
- The Department of Veterans Affairs agrees to allow the State Records Commission, its staff, and the Examiners of Public Accounts to examine the condition of the permanent records maintained in the custody of the agency and to inspect records destruction documentation. Government Records Division archivists are available to train the agency staff in RDA implementation and otherwise assist the agency in implementing its records management program.

The State Records Commission adopted this revision to the Records Disposition Authority on July 27, 2000.

Edwin C. Bridges, Chairman
State Records Commission

Date

Receipt acknowledged:

Frank D. Wilkes, Director
Department of Veterans Affairs

Date